

## Exhibit 300: Capital Asset Plan and Business Case Summary

### Part I: Summary Information And Justification (All Capital Assets)

#### Section A: Overview

1. **Date of Submission:** 2010-09-17

2. **Agency:** 429

3. **Bureau:** 00

4. **Name of this Investment:** License Fee Billing System (Fees System)

5. **Unique Project (Investment) Identifier (UPI):** 429-00-01-01-01-2025-00

6. **What kind of investment will this be in FY 2012?:** Operations and Maintenance

- Planning
- Full Acquisition
- Operations and Maintenance
- Mixed Life Cycle
- Multi-Agency Collaboration

7. **What was the first budget year this investment was submitted to OMB?** FY2001 or earlier

8.

- a. **Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap, specific accomplishments expected by the budget year and the related benefit to the mission, and the primary beneficiary(ies) of the investment.**

The NRC is mandated by Federal regulation to recover 90% of its annual budget. In order to achieve this requirement, fees are assessed in accordance with the License Fee Management Program for annual licensing activities and various services which include new licensing approvals, licensing amendments, topical reports and reactor inspections. The Fees System provides an automated method of implementing this major Agency Program, which includes reporting, invoicing, and posting transactions to the accounts receivable module of the Agency's core accounting system. Management reports that include labor activity, contract costs, and billing details, as well as numerous types of invoices are produced by this system which is used by Headquarters Program and Support Offices, as well as the four regional offices. External customers, over 50 categories of licensees that receive a fee-billable service from the Agency, include applicants for facilities, materials, import and export licenses, holders of certificates of compliance, registration, quality assurance program approvals and government agencies licensed by the NRC. Expenditures associated with maintaining the existing Fees System are categorized as a "Legacy System Application", Steady State, and it is in the operation phase of the NRC's Capital Planning and Investment Control (CPIC) process. There is a continuing need for automation of the fee billing effort in order that the Agency can continue recovering costs of providing services as required under OBRA-90, as amended, and IOAA. The OCFO is currently modernizing its financial systems and the legacy Fees System will be replaced as an integrated part of the replacement Core Financial System (CFS), currently scheduled for completion by October 1, 2010.

- b. **Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports.**

Title	Link
NONE	

9.

- a. **Provide the date of the Agency's Executive/Investment Committee approval of this investment.**  
2010-08-31
- b. **Provide the date of the most recent or planned approved project charter.** 1981-10-01

**10. Contact information?**

- a. **Program/Project Manager Name:** \*  
**Phone Number:** \*  
**Email:** \*
- b. **Business Function Owner Name (i.e. Executive Agent or Investment Owner):** James Dyer  
**Phone Number:** \*  
**Email:** \*

**11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA):** Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.

- Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/PM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

## Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.B.1: Summary of Funding  
(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Planning & Acquisition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition(DME):	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
Operations, Maintenance, Disposition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal O&M and Disposition Costs (SS):	*	*	*	*	*	*	*	*	*
TOTAL FTE Costs	*	*	*	*	*	*	*	*	*
TOTAL (not including FTE costs):	*	*	*	*	*	*	*	*	*
TOTAL (including FTE costs):	*	*	*	*	*	*	*	*	*
Number of FTE represented by	*	*	*	*	*	*	*	*	*

**Table I.B.1: Summary of Funding**  
**(In millions of dollars)**

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Costs:									

2. Insert the number of years covered in the column “PY-1 and earlier”: 7

3. Insert the number of years covered in the column “BY+4 and beyond”: \*

4. If the summary of funding has changed from the FY 2011 President’s Budget request, briefly explain those changes:

\*

## Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
Awarded	3100	<a href="#">NRCDR3307358T005</a>	GS35F4524G		*	*	\$1.7	Labor Hours	N	2007-09-26	2012-03-25	N	Task Order No. 5 for OCFO Fees Program Systems, under NRC Delivery Order DR-33-07-358, Maintenance and Operations Support for NRC Application Systems and Environment.
Awarded	3100	AAIRM0015			*	*	\$1.7	Time and Materials	N	2007-10-01	2010-09-30	Follow On to Completed Action	Use of the NIH mainframe computer.
Awarded	3100	<a href="#">NRCDR0909318</a>		FSS-BPA-09-318	*	*	\$0.2	Labor Hours	N	2009-03-05	2011-03-04	Y	IV & V Services for the OCFO

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

\*

3.

- a. Has an Acquisition Plan been developed? If yes, please answer the questions that follow \*
- b. Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 \*
- c. Was the Acquisition Plan approved in accordance with agency requirements \*
- d. If "yes," enter the date of approval? \*
- e. Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? \*
- f. Does the acquisition plan meet the requirements of EOs 13423 and 13514? \*
- g. If an Acquisition Plan has not been developed, provide a brief explanation.

\*

## Part II: IT Capital Investments

### Section A: General

1.
  - a. Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. yes
  - b. If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education.
  
2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. the functionality of fees is being built into the financial accounting and integrated management information system, a federal shared service provider, the national business center at the department of the interior. fees will be decommissioned.
  
3. Provide the date of the most recent or planned Quality Assurance Plan
  
4.
  - a. Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment.
  - b. If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s).  
 429-00-01-01-02-1005-00,429-00-01-01-02-2015-00,429-00-01-04-01-1000-00,429-00-01-03-01-2000-00  
 ,429-00-01-01-01-2016-00,429-00-01-03-01-2080-00
  
5. An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 1982-10-01
  
6. Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 2010-08-19

## Section B: Cost and Schedule Performance

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Legacy Fees FY02 O&M	SS	*	\$0.8	\$0.7	2001-10-01	2001-10-01	2002-09-30	2002-09-30	100.00%	100.00%
Legacy Fees FY03 O&M	SS	*	\$0.9	\$0.7	2002-10-01	2002-10-01	2003-09-30	2003-09-30	100.00%	100.00%
Legacy Fees FY04 O&M	SS	*	\$0.9	\$0.6	2003-10-01	2003-10-01	2004-09-30	2004-09-30	100.00%	100.00%
Legacy Fees FY05 O&M	SS	*	\$1.0	\$1.0	2004-10-01	2004-10-01	2005-09-30	2005-09-30	100.00%	100.00%
Legacy Fees FY06 O&M	SS	*	\$1.1	\$0.6	2005-10-01	2005-10-01	2006-09-30	2006-09-30	100.00%	100.00%
Legacy Fees FY07 O&M	SS	*	\$1.9	\$1.9	2006-10-01	2006-10-01	2007-09-30	2007-09-30	100.00%	100.00%
Legacy Fees FY08 O&M	SS	*	\$1.7	\$1.5	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
Legacy Fees FY09 O&M	SS	*	\$1.8	\$1.8	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
Legacy Fees FY10 O&M	SS	*	\$1.7	\$1.7	2009-10-01	2009-10-01	2010-09-30	2010-09-30	100.00%	100.00%
Legacy Fees FY11 O&M	SS	*	\$1.8	\$0.4	2010-10-01	2010-10-01	2011-09-30		17.00%	30.00%
Legacy Fees Decommissioned	SS	*	*	*	2011-10-01	*	2012-09-30	*	*	*

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements. The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis. 2010-08-19



4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation? yes

Section C: Financial Management Systems

Table II.C.1: Financial Management Systems			
System(s) Name	System acronym	Type of Financial System	BY Funding
*	*	*	*

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Table II.D.1. Customer Table:	
Customer Agency	Joint exhibit approval date
NONE	

Table II.D.2. Shared Service Providers		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
*	*	*

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
NONE							

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
*	*	*

## Section E: Performance Information

Table I.E.1a. Performance Metric Attributes

Measurement Area (For IT Assets)	Measurement Grouping (For IT Assets)	Measurement Indicator	Reporting Frequency	Unit of Measure	Performance Measure Direction	Baseline	Year Baseline Established for this measure (Origination Date)
Technology	Service Availability	Number of days after the end of each quarter that invoices are processed. This enables more accurate invoices which, reducing the number of billing errors and therefore minimizing personnel effort and costs.	annual	Days	Decrease	Invoices are processed no later than 35 days after the end of each quarter, as required by the Dept. of Treasury.	2008-10-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2009	Invoices are processed no later than 30 days after the end of each quarter, as required by the Dept. of Treasury.	Part 170 and 171 bills were all issued as scheduled	Met	2010-09-17
			2010	Invoices are processed no more that 30 days after the end of the quarter as required by the Dept. of Treasury.	Pending		2010-09-17
			2011	Invoices are processed no more that 30 days after the end of the quarter as required by the Dept. of Treasury.	Pending		2010-09-17
Processes and Activities	Costs	Percentage of O&M costs managed within the annual budgeted funds, which indicates cost estimates are accurate and eliminates continual reprogramming of funds from other NRC	annual	Percentage	Increase	O&M costs are managed within +/- 11% of budgeted funding.	2008-10-01

		investments.					
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2009	O&M costs are managed within +/- 11% of budgeted funding.	Manage maintenance costs within +/- 11%	Met	2010-09-17
			2010	O&M costs are managed within +/- 10% of budgeted funding.	Pending		2010-09-17
			2011	O&M costs are managed within +/- 10% of budgeted funding.	Pending		2010-09-17
Mission and Business Results	Debt Collection	Percentage of the budget recovered as a result of the fee billing function, as required by congressional mandate. This helps to further ensure budget accuracy and enables cost recovery for other NRC investments.	annual	Percentage	Increase	Prepare 100% of licensee invoice information using the existing fees collection systems.	2008-10-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2009	Prepare 100% of licensee invoice information using the existing fees collection systems.	Agency recovered 100% of the budget authority	Met	2010-09-17
			2010	Prepare 100% of licensee invoice information using the existing fees collection systems.	Pending		2010-09-17
			2011	Prepare 100% of licensee invoice information using the existing fees collection systems.	Pending		2010-09-17
Customer Results	Automation	Percentage of time the Fees System is available	annual	Percentage	Increase	Systems are available 94% of the time.	2008-10-01

		to support the 30-day billing schedule. Adhering to the 30-day billing cycle helps NRC to receive funds in a more timely and accurate manner.					
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2009	Systems are available 95% of the time.	The systems required to carry out the fee collection and reporting processes were available 95% of the time	Met	2010-09-17
			2010	Systems are available 96% of the time.	Pending		2010-09-17
			2011	Systems are available 96% of the time.	Pending		2010-09-17

\* - Indicates data is redacted.